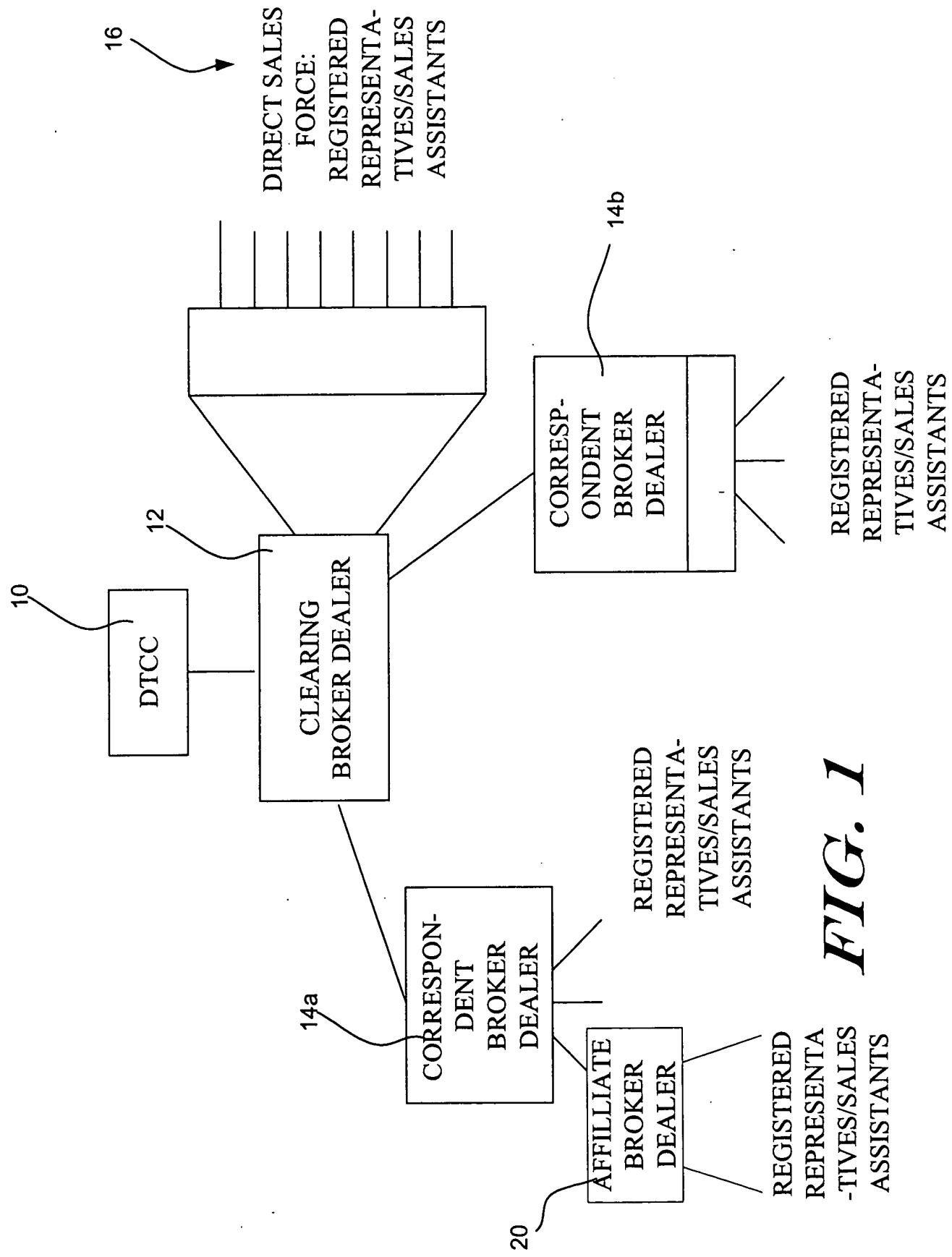
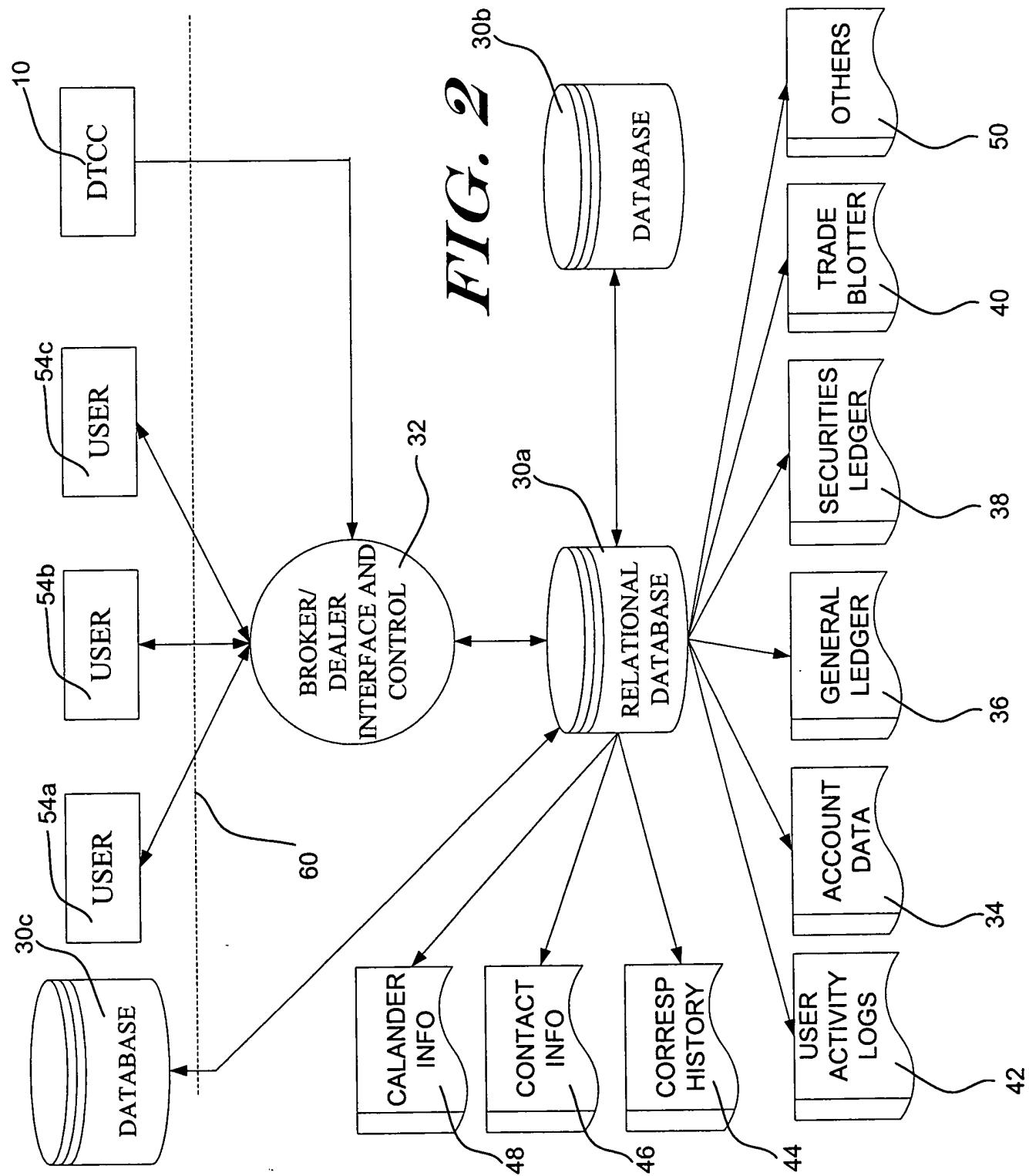


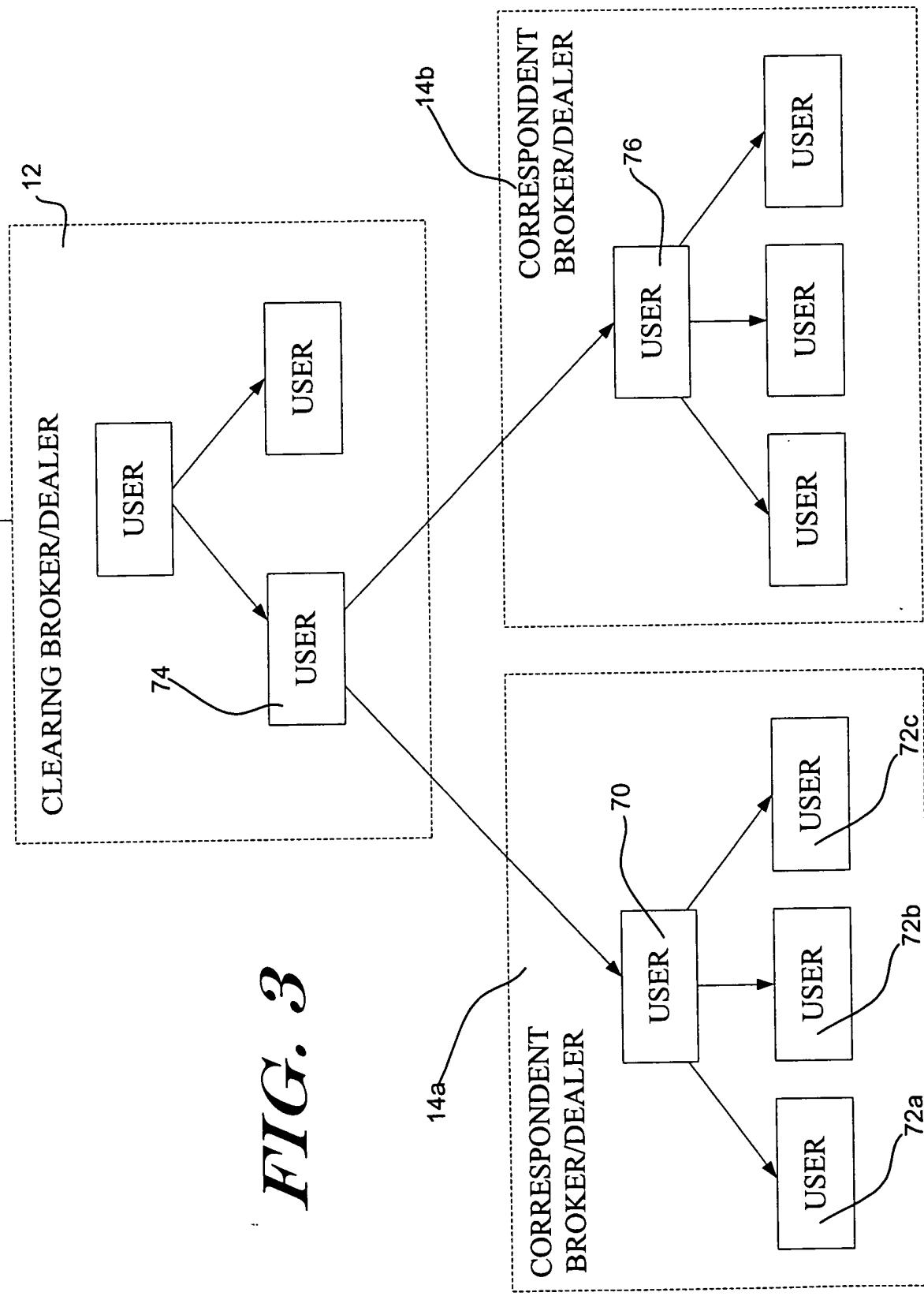
卷之三



## *FIG. I*



*FIG. 3*



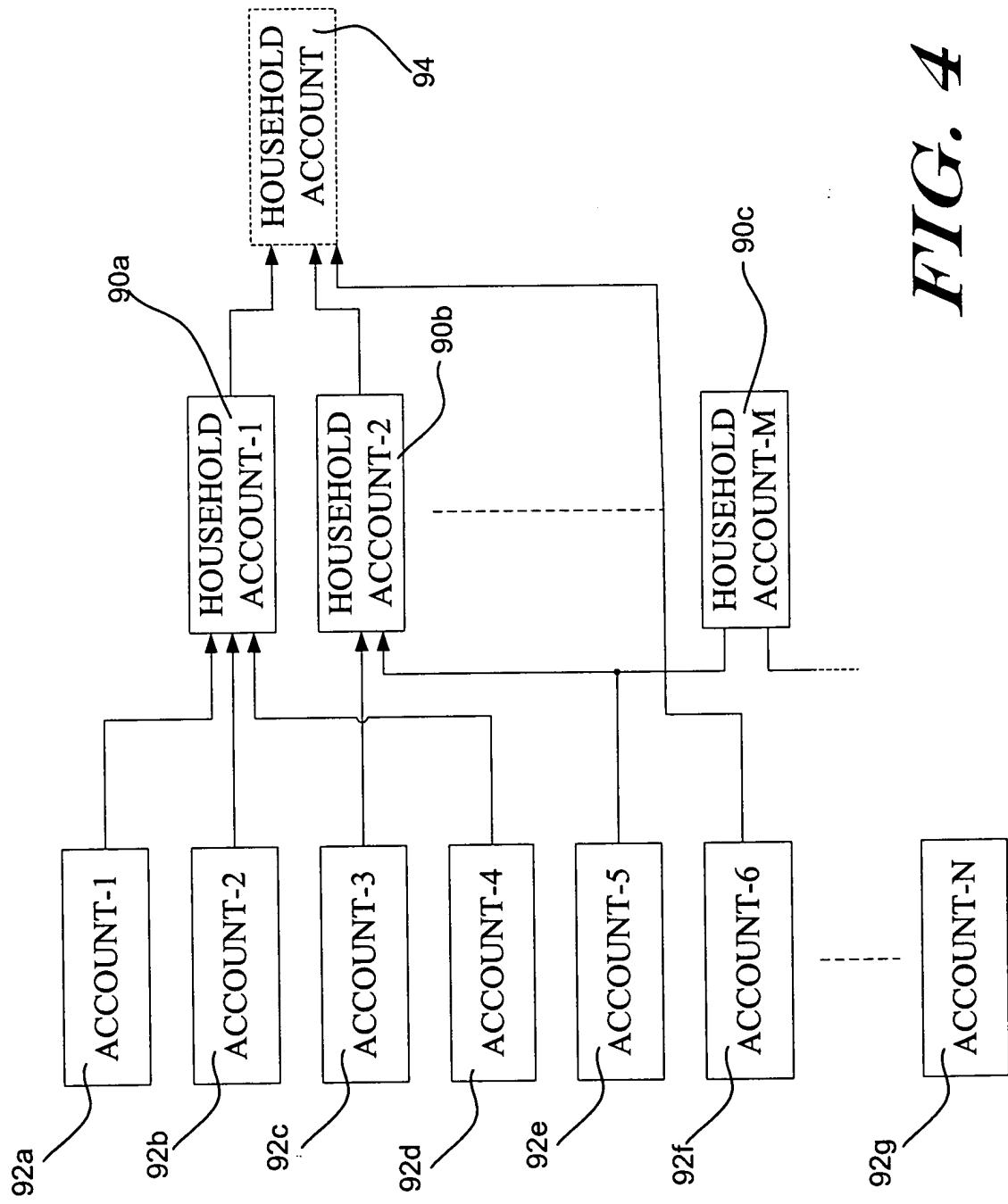


FIG. 4

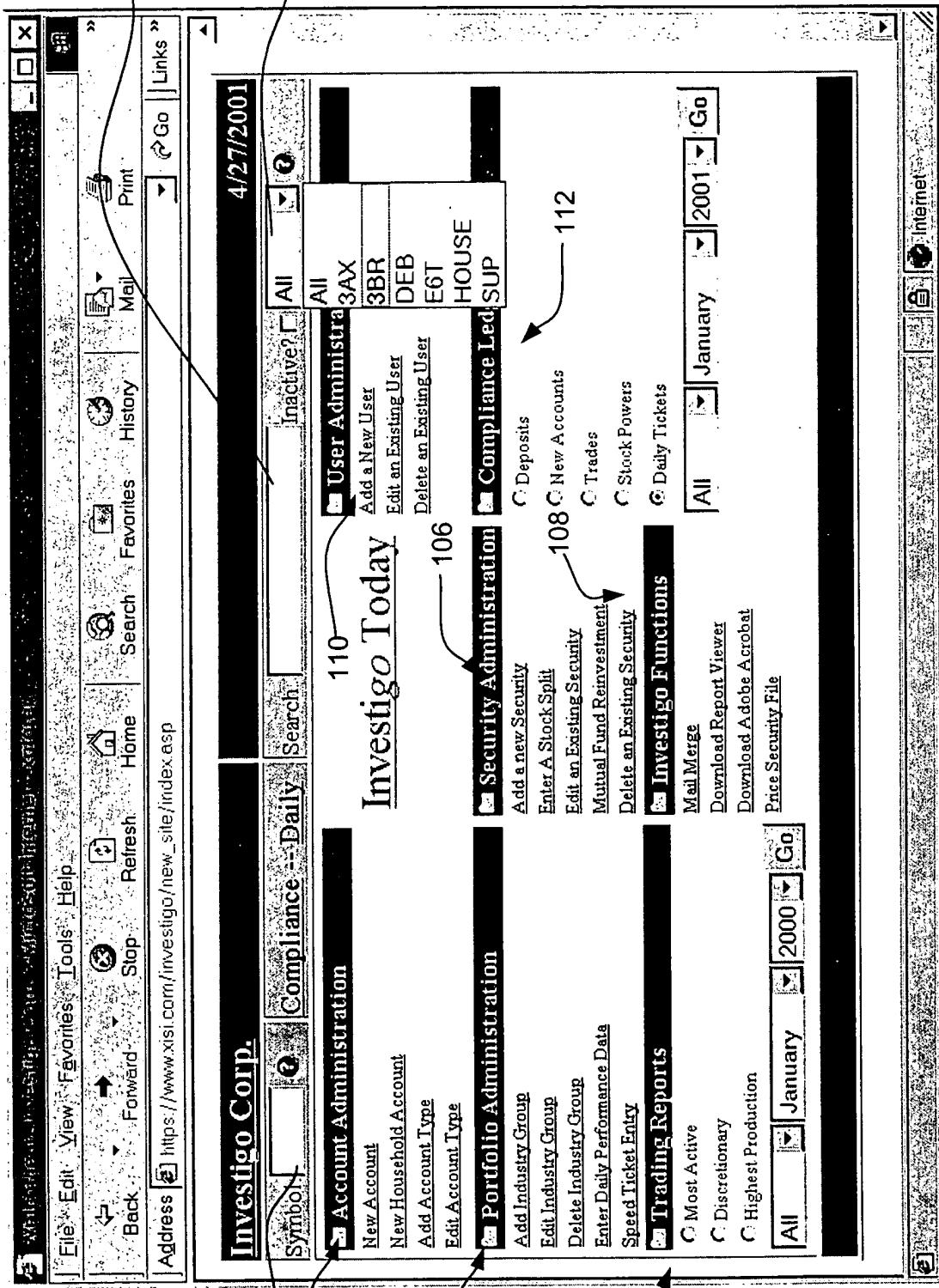


FIG. 5

**Investigo Corp.**

---

- 10 Most active accounts for All Reps for the month ending 01/31/2000

<u>Account Number</u>	<u>Client Name</u>	<u>Account Type</u>	<u>SSN</u>
W636020323	Diane Glosson	Regular IRA	307-50-4245
W636019051	Richard Schreiber	Regular IRA	305-38-3491
317-62-3670	Stanley Gamble	401(k)	317-62-3670
308-70-8613	Michael Saxman	401(k)	308-70-8613
385-82-2226	Mark Reilly	401(k)	385-82-2226
305-60-3130	Lee Humbert	401(k)	305-60-3130
312-82-2943	Henry Gilbert	401(k)	312-82-2943
315-72-9043	Kathy Lefever	401(k)	315-72-9043
60952972D	Stanley D. Gamble	401(k)	317-62-3670
60952996D	Mark L. Reilly	401(k)	385-82-2226

**FIG. 6**

**Investigo Corp.**

- 10 Most active accounts for Rep 3BR for the month ending 10/31/2000

Account Number	Client Name	SSN	Account Type
W636080590	David A. Story	303-52-5412	Regular IRA
FERG6	Scott Fergusson	304-96-1037	401(k)
W632319364	Jeffrey L. Hinan	308-82-8501	JTWROS
W632014437	Mr. James E. Lauritsen	43-0497480	DVP
60688910	Carolyn E. Hein	307-46-5353	403(b)
64747090	Chelsey J. Coughlin	313-13-3668	UGMA
64747091	Bray J. Coughlin	310-19-2016	UGMA
FERS	Scott Fergusson	304-96-1037	Regular IRA
W632297842	Keith Edwards	315-52-2906	JTWROS
W636019770	Kim A. Lefever	316-64-4482	Regular IRA

FIG. 7

T0X20-03427560

Investigo Corp.

• Check Deposit ledger for All for the Month ending 10/31/2000.

<u>Date Received</u>	<u>Account Number</u>	<u>Account Name</u>	<u>Amount</u>	<u>Deposit Date</u>	<u>Payable To</u>	<u>Represent</u>
10/1/2000	C017254-0D	Keith D. Class	.900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	.540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	.60	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	Mary Jo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-350	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636081952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Doloris McCormick	-200	10/2/2000	Doloris McCormick	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co.	EoT
10/2/2000	W632669420	Robert W. Schnipke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

FIG. 8

FIGURE DRAFTED

Investigo Corp.

Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000

Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	SAINS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-0D	60327.84	Unsolicited	0	0	0
10/2/2000	10/5/2000	Buy	W632669420	JALAX	3603.604	Solicited	15.54	56.000	0
10/2/2000	10/5/2000	Buy	W632669420	IDGSX	1689.708	Solicited	13.02	22.000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1758.44	Solicited	17.08	30.000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632668555	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632588893	RCVGX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632541086	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	QOO	70	Solicited	88.5	6333.44	132.09
10/2/2000	10/5/2000	Buy	W632448502	RCVGX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632476712	RCVGX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367389	RCVAX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPPAX	485.784	Solicited	68.99	34.000	0
10/2/2000	10/5/2000	Buy	W632366945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312686	AHTX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306888	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W63295523	FDDBX	17.202	Solicited	8.79	0	0

FIG. 9

Investigo Corp.

Daily Trade Tickets for the Period 10/1/2000 to 10/31/2000 for All.

Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/T/NS	Type	Price	Report	Rep
10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash -01	market	10.99	3AX
10/2/2000	10/5/2000	Sell	W632319364	RHAT	300	Unsolicited	Cash -01	mt	17.11	3BR
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolicited	Cash -01	\$8.1/2 g/c	88.1/2	3BR
10/2/2000	10/5/2000	Sell	W632319364	NOIZ	600	Unsolicited	Cash -01	mt	7.1/16	3BR
10/2/2000	10/5/2000	Buy	W632319364	BETM	300	Unsolicited	Cash -01	market	.4375	3AX
10/2/2000	10/5/2000	Sell	W632319364	TRCR	300	Unsolicited	Cash -01	3.11/16		3BR
10/2/2000	10/5/2000	Buy	W632669420	IALAX	3603.6040	Solicited	Cash -01	market	15.54	3AX
10/2/2000	10/5/2000	Buy	W632669420	45168C437	1639.7080	Solicited	Cash -01	market	13.02	3AX
10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash -01	0	23.82	3AX
10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1633.2200	Unsolicited	Cash -01	market	15.90	3AX
10/2/2000	10/5/2000	Buy	W632669420	ANWFX	2471.6500	Solicited	Cash -01	market	29.63	3AX
10/3/2000	10/6/2000	Buy	W632047672	AEGX	1580.8760	Solicited	Cash -01	market	39.48	3AX
10/3/2000	10/6/2000	Buy	W632047672	IWINX	1707.1350	Solicited	Cash -01	market	36.68	3AX
10/3/2000	10/6/2000	Sell	W632047672	W632047672	22071.4505	Solicited	Cash -01	1	1	3AX
10/3/2000	10/6/2000	Sell	W632047672	RCVAX	1756.4400	Solicited	Cash -01	market	17.08	3AX
10/3/2000	10/6/2000	Buy	W632669420	OPPAX	485.7840	Solicited	Cash -01	market	69.99	3AX
10/3/2000	10/6/2000	Sell	W632047672	NEFDX	4282.7230	Solicited	Cash -01	market	17.10	3AX
10/3/2000	10/6/2000	Buy	W632020420	LU	100	Unsolicited	Cash -01	30.25	GTC	3AX
10/3/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash -01	160	GTC	3AX
10/3/2000	10/7/2000	Sell	W632020420	FKINX	7884.9400	Solicited	Cash -01	market	2.31	3AX

Done Internet

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The screenshot shows a web browser window with the URL [https://www.xisi.com/investiga/mail\\_merge/merge\\_beta.asp](https://www.xisi.com/investiga/mail_merge/merge_beta.asp). The page title is "Mail Merge". At the top, there are fields for "Symbol:", "Go", "Compliance -- Daily", "Account Number or Name:", and "Lookup...". Below this, the main content area is titled "Mail Merge" and contains the following sections:

- By Account Registration**
  - Representative: 3BR
  - Account Type: 401(k)
  - Report Frequency: All
  - State of Residence: Minnesota
- By Investment Objective**

<input type="checkbox"/> LT Capital Appreciation	Stocks	<input type="checkbox"/> Don't Search
<input type="checkbox"/> Short Term Trading	Bonds	<input type="checkbox"/> Don't Search
<input checked="" type="checkbox"/> Business Man's Risk	Options	<input type="checkbox"/> Don't Search
<input type="checkbox"/> Income	Futures	<input type="checkbox"/> Don't Search
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		
- By Personal Interests**

<input checked="" type="checkbox"/> Golf	<input type="checkbox"/> Tennis
--	---------------------------------
- By Holdings**

<input checked="" type="checkbox"/> Owns Mutual Funds	<input type="checkbox"/> Owns Long Term Care Policies
<input type="checkbox"/> Owns Life Insurance	<input type="checkbox"/> Owns Variable Annuities

At the bottom center is a button labeled "Create Mail Merge".

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*FIG. 11*

F U L E D O T T E R F E D

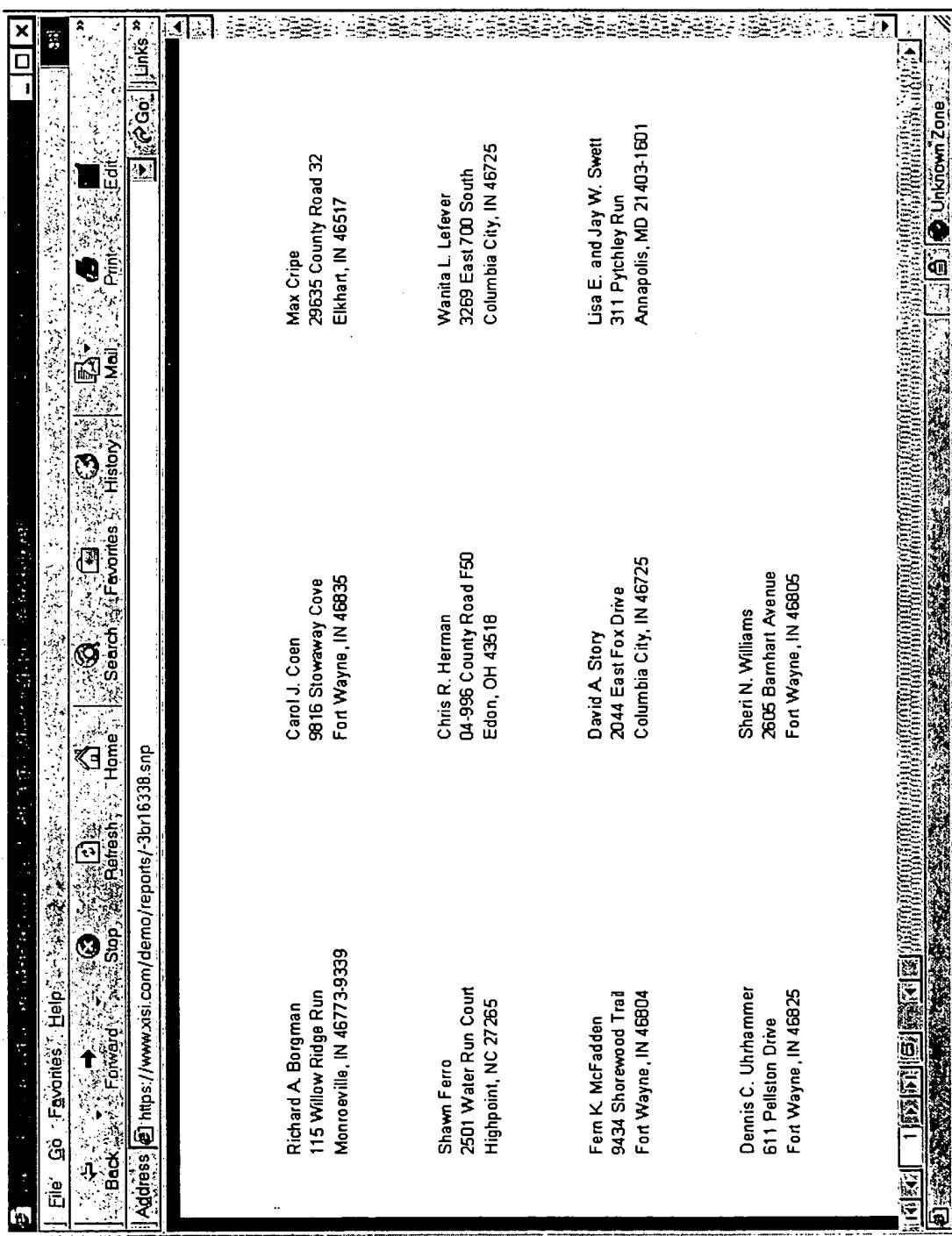


FIG. 12

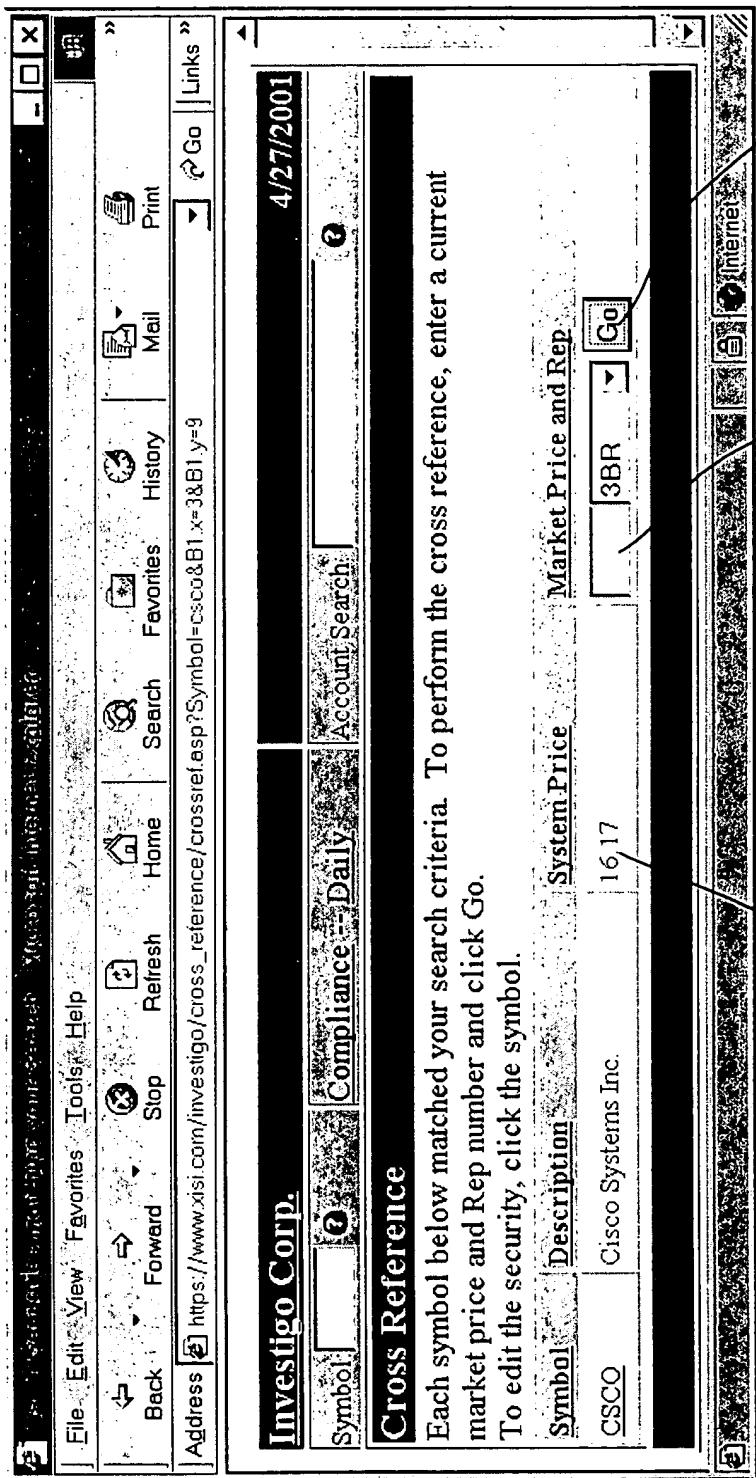


FIG. 13

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10248200-02472460

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**Investigo Corp.** 4/27/2001

Symbol: [? Compliance Daily Account Search](#)

**Cross Reference for Cisco Systems Inc.**

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

**Cisco Systems Inc.-- (CSCO) at 16.17**

**Mail Merge**

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #s
<a href="#">W632297834</a>	Boyal	CSCO	<a href="#">100</a>	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W:219-825-9457 H:219-825-5520
<a href="#">W632298345</a>	Edwards	CSCO	<a href="#">195</a>	3/24/2000	69.8933	\$13,630.16	(\$10,477.01)	W: H:219-635-2496
<a href="#">W636098170</a>	Felber	CSCO	<a href="#">100</a>	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W: H:
<a href="#">W632297107</a>	Kernen	CSCO	<a href="#">103</a>	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W:800-392-0844e272 H:770-967-4053
<a href="#">W632392841</a>	Marques	CSCO	<a href="#">600</a>	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W:219-357-6557 H:219-357-5252
<a href="#">W632488060</a>	Mason	CSCO	<a href="#">238</a>	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W:219-925-4939 H:219-837-6070
<a href="#">W632494886</a>	McClain	CSCO	<a href="#">200</a>	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W:219-425-5792 H:219-497-0740
<a href="#">W632520656</a>	Rienks	CSCO	<a href="#">110</a>	7/21/1999	46.9139	\$5,161.08	(\$3,392.38)	W:270-251-1263 H:270-554-4701
<a href="#">W632645099</a>	Silva	CSCO	<a href="#">20</a>	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	W:270-251-1109 H:270-554-5384

**Done** Internet

**FIG. 14**

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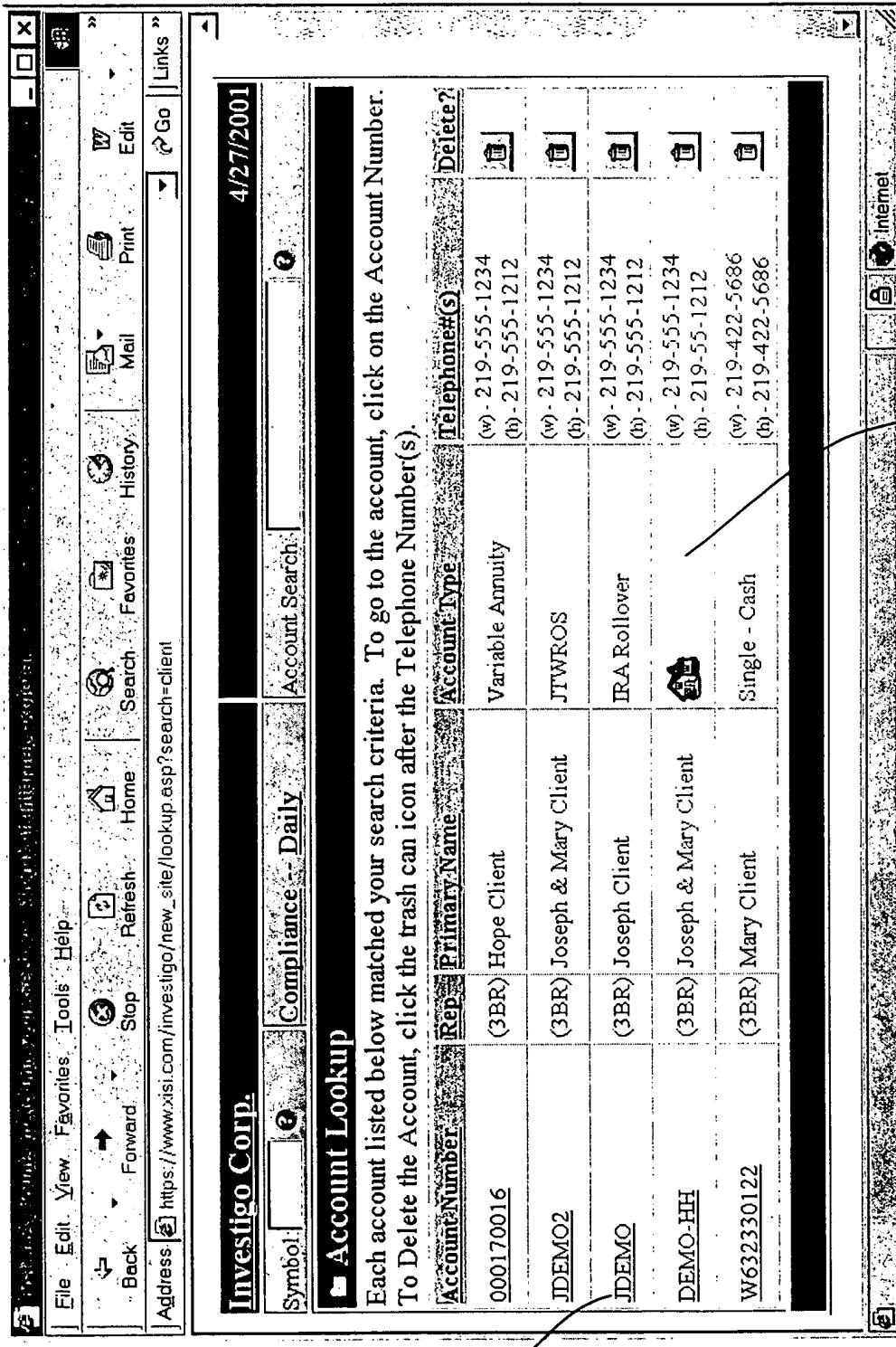
The screenshot shows a web browser window displaying the Investigo Corp. website. The URL in the address bar is <https://www.xisi.com/investigo/today/today.asp>. The page content includes:

- Investigo Corp.** logo and date **4/27/2001**.
- Symbol:**  **Compliance** **Daily** **Account Search:**
- Friday, April 27, 2001**: No appointments are on your Calendar for Today.
- This week:** 22, 23, 24, 25, 26, **27**, 28.
- This Month:** April 2001 calendar showing days 1 through 30.
- Add an Appointment:** Form fields for Start Date, Start Time (8:00 AM), Duration (30 minutes), Title, Notes, and Private? checkbox. A "Merge" button is also present.
- Announcements:**
  - New! Uncover Variable Annuity sales in your own business immediately.
  - New! Choose to receive your monthly backup electronically and save \$50.
- Clients to contact this Month:** List of names including Shirley K. Bassett, Brian Call, Richard Cox, Brent Edwards, Robert Gibbeny, Kathy J. Lefever, Sheila M. Nave, Donna J. Sealscott, Casey Stafford, Thomas A. Bassett, Mary Client, Kathleen F. Cripe, Austin Fergusson, Sheila M. Gravely, William L. McClain, Susan Rineholt, Patrick Sievers, Kenneth Stocker.
- Birthdays this Month:** List of names and dates including Wanita L. Lefever (4/1/1933), Max Cripe (4/11/1946), Fern K. McFadden (4/7/1947), David A. Story (4/10/1947), Carol J. Coen (4/5/1948), Richard A. Borgman (4/23/1960), Sheri N. Williams (4/1/1961), Chris R. Herman (4/17/1961), Lisa E. and Jay W. Swett (4/14/1966), Dennis C. Uhrhammer (4/3/1970), Shawn Ferro (4/12/1972), Kent A. Christman (4/14/1983).

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*FIG. 15*



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**FIG. 16**

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**Investigo Corp.**

4/27/2001

Information		Action		Administration	
Symbol: <input type="text" value="JDEMO"/>	Compliance: Daily	Joseph Client -- IRA Rollover ~Tell Me about...		Account Search <input type="button" value="Go"/>	
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 <input checked="" type="checkbox"/> 219-555-1212 (H) <input checked="" type="checkbox"/> 219-555-1234 (W) <input checked="" type="checkbox"/> joe@investigo.net	Date: <input type="text" value="4/26/2001"/>	<input type="button" value="Go"/>	Trade: <input type="text" value="Buy"/>	<input type="button" value="Go"/>	<input type="button" value="Edit Account Information"/>
				<input type="button" value="Edit"/>	<input type="button" value="Open Transactions"/>
				<input type="button" value="Make a Cash Deposit"/>	<input type="button" value="Go"/>

220 224 226 228

262 236 234 274

**Holdings**

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,352.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.961	\$43,200.00	33.9	\$37,665.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives		Personal		Contact History	
Long Term Cap App. <input checked="" type="checkbox"/>	SSN# <input type="text" value="123-45-6789"/>	Birthday: <input type="text" value="12/31/1940"/>	Employer: <input type="text" value="GTE"/>	Date: <input type="text" value="4/27/2001"/>	Type: <input type="text" value="Telephone"/>
Short Term Trading <input type="checkbox"/>	Occupation: <input type="text" value="Technician"/>	Net Worth: <input type="text" value="500K +"/>	Notes: <input type="text" value="Create New"/>	<input type="button" value="Go"/>	
Business Man's Risk <input type="checkbox"/>	Liquid Net Worth: <input type="text" value="500K +"/>		4/26/2001 <input type="text" value=""/>	<input type="text" value="Spoke with Joe regarding...."/>	
Income <input type="checkbox"/>				<a href="#">View JDEMO's Contact History</a>	
Safety of Principal <input type="checkbox"/>					
Tax-Exempt Income <input type="checkbox"/>					

230 232 250

**FIG. 17**

FDIC FFIEC 2002

260

**Investigo Corp.**

4/27/2001

Symbol: <input type="text"/>	Compliance: Daily	Account Search: <input type="text"/>																																																																																																									
<b>JDEMO</b> Joseph Client-- IRA Rollover ~Tell Me about...																																																																																																											
<table border="1"> <thead> <tr> <th>Information</th> <th>Action</th> <th>Administration</th> </tr> </thead> <tbody> <tr> <td>123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (H) 219-555-1234 (W) <a href="mailto:joe@investigo.net">joe@investigo.net</a></td> <td> <a href="#">Realized G/L</a>  <a href="#">Appraisal</a>  <a href="#">Appraisal Graph</a>  <a href="#">Asset Allocation</a>  <a href="#">Asset Alloc. Graph</a>  <a href="#">Realized G/L</a>  <a href="#">Performance</a> </td> <td> <a href="#">Edit Account Information</a>  <a href="#">Edit</a>  <a href="#">Open Transactions</a>  <a href="#">Make a Cash Deposit</a> </td> </tr> </tbody> </table>			Information	Action	Administration	123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (H) 219-555-1234 (W) <a href="mailto:joe@investigo.net">joe@investigo.net</a>	<a href="#">Realized G/L</a> <a href="#">Appraisal</a> <a href="#">Appraisal Graph</a> <a href="#">Asset Allocation</a> <a href="#">Asset Alloc. Graph</a> <a href="#">Realized G/L</a> <a href="#">Performance</a>	<a href="#">Edit Account Information</a> <a href="#">Edit</a> <a href="#">Open Transactions</a> <a href="#">Make a Cash Deposit</a>																																																																																																			
Information	Action	Administration																																																																																																									
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (H) 219-555-1234 (W) <a href="mailto:joe@investigo.net">joe@investigo.net</a>	<a href="#">Realized G/L</a> <a href="#">Appraisal</a> <a href="#">Appraisal Graph</a> <a href="#">Asset Allocation</a> <a href="#">Asset Alloc. Graph</a> <a href="#">Realized G/L</a> <a href="#">Performance</a>	<a href="#">Edit Account Information</a> <a href="#">Edit</a> <a href="#">Open Transactions</a> <a href="#">Make a Cash Deposit</a>																																																																																																									
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[Done](#) [Print](#) [Internet](#)

*FIG. 18*

File Go Favorites Help

Back Forward Home Search Favorites History Print Mail Discuss Messenger

Address https://www.xisi.com/demo/reports/report\_112739.snp

Account No.: JDEMO  
IRA Rollover  
Tax ID: 123-45-6789  
Page: 1 of 1

Realized Gains and Losses From 1/1/2000 To 4/26/2001

Quantity	Date Bought	Unit Price	Net Cost	Date Sold	Unit Price	Proceeds	Short Term			Long Term		
							Profit	Loss	Profit	Loss	Profit	Loss
AWSHX American-Washington Mutual Inv A												
1007.388	03/15/1999	34.9600	35218.28	04/03/2000	29.7800	30000.00	0.00	0.00	0.00	-5218.28		
1677.852	03/15/1999	34.9600	58657.70	05/23/2000	29.8000	50000.00	0.00	0.00	0.00	-8657.70		
<b>TOTALS:</b>						<b>80000.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-13875.98</b>		
<b>NET:</b>						<b>0.00</b>	<b>0.00</b>	<b>-13875.98</b>				

112739

Unsorted Zone

FIG. 19

FIGURE 20 - DATA FROM FIGURE

Investigo Corp.		Joseph Client-- IRA Rollover ~ Tell Me about...		4/27/2001																																																																																	
<input type="checkbox"/> JDemo  <a href="https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDemo">https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDemo</a>		<input type="checkbox"/> Compliance Daily  <a href="#">Account Search</a>		<input type="checkbox"/> Go   <a href="#">Links</a>																																																																																	
<b>Information</b> 123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804  219-555-1212 (H)  219-555-1234 (W)  <a href="mailto:joe@investigo.net">joe@investigo.net</a>		<b>Action</b> <input type="checkbox"/> Appraisal <input type="checkbox"/> Go <input type="checkbox"/> Date: 4/26/2001 <input type="checkbox"/> Go <b>Trade:</b> <input type="checkbox"/> Buy <input type="checkbox"/> Go <input type="checkbox"/> Buy <input type="checkbox"/> Go <input type="checkbox"/> Cover <input type="checkbox"/> Go <input type="checkbox"/> Sell <input type="checkbox"/> Go <input type="checkbox"/> Short <input type="checkbox"/> Go 		<b>Administration</b> <input type="checkbox"/> Edit Account Information <input type="checkbox"/> Go <input type="checkbox"/> Edit <input type="checkbox"/> Go <input type="checkbox"/> Open Transactions <input type="checkbox"/> Go <input type="checkbox"/> Make a <input type="checkbox"/> Go <input type="checkbox"/> Stock Deposit <input type="checkbox"/> Go																																																																																	
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<b>Personal</b> <input type="checkbox"/> SSN/TIN: 123456789 <input type="checkbox"/> Birthday: 12/31/1940 <input type="checkbox"/> Employer: GE <input type="checkbox"/> Create New <input type="checkbox"/> Telephone <input type="checkbox"/> Go <input type="checkbox"/> Internet																																																																																					

FIG. 20

FIGURE 20 - DRAFT FIGURE

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address  Go Go Links

Investigo Corp.

Symbol  Daily Account Number or Name

Trade Entry

JDEMO Joseph Client- IRA Rollover

Trade Date  Trade Type  Buy

Amount  Symbol or CUSIP

Price  Solicitation Status  Solicited

Commission  Location of Shares  Long

Fees and/or charges  Reinvest  None or N/A

Sales charge  - For Mutual Funds

Cost or Proceeds Override  - Overrides automatic calculation

Order Entered By  Recommended to client

Notes

Confirm This Trade

Done

270

FIG. 21  
268

F022400 0272 F650

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address  lesChange=0&Totals=&order\_enterer=3br&Incls=Recommended+to+client&Submit=Confirm+This+Trade ▶ Go Links

Investigo Corp.

Compliance

Symbol  Account Number or Name

Daily

Trade Entry

JDEMO Joseph Client -- IRA Rollover

Trade Date	Trade Type	Buy
4/27/2001	Symbol or CUSIP	INTERNATIONAL BUSINESS MACHINES COR (IBM)
Price	33	Solicitation Status
Commission	\$600.00	Location of Shares
Fees and/or charges	\$65.00	Reinvest
Sales charge	0	None
Total Fees	\$665.00	
Total Cost	\$33,665.00	
Order Entered By	3br	
Notes	Recommended to client	

Execute this Buy Order

Done

*FIG. 23*

Investigo Corp.																																																																											
Information		Action																																																																									
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 219-555-1212 (F) 219-555-1234 (W) <input checked="" type="checkbox"/> joe@investigo.net		<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <div style="display: flex; justify-content: space-between;"> <span>Date:</span> <input type="text" value="4/26/2001"/> <span>Appraisal</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Trade:</span> <input type="text" value="Buy"/> <span>Compliance</span> </div> </div> <div style="width: 45%;"> <div style="display: flex; justify-content: space-between;"> <span>Stock Deposit</span> <span>Cash Deposit</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Withdrawal</span> <span>Stock Deposit</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Reinvest Option</span> <span>Market Value</span> <span>Gain/Loss</span> </div> </div> </div> <div style="margin-top: 10px;"> <a href="#">Edit Account Information</a>   <a href="#">Edit</a>   <a href="#">Open Transactions</a>   <a href="#">Make a</a>   <a href="#">Go</a> </div> <div style="margin-top: 10px;"> <a href="#">Edit Account Information</a>   <a href="#">Edit</a>   <a href="#">Open Transactions</a>   <a href="#">Make a</a>   <a href="#">Go</a> </div> <div style="margin-top: 10px;"> <a href="#">Edit Account Information</a>   <a href="#">Edit</a>   <a href="#">Open Transactions</a>   <a href="#">Make a</a>   <a href="#">Go</a> </div>																																																																									
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Quantity	Symbol	Date Open	Unit Price	Stock Deposit	Market Value	Gain/Loss																																																																					
1644.196	AGITHX	1/2/2001	30.410	\$5	\$40,332.13	(\$9,667.87)																																																																					
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49																																																																					
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04																																																																					
2315.196	ANTWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62																																																																					
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24																																																																					
1111.652	MSGKX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00																																																																					
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67																																																																					
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22																																																																					
						\$0.00																																																																					
<input type="button" value="Done"/>																																																																											

Sales: 2001-04-27 10:45:45.000000 -05:00

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Address

**Investigo Corp.**

**Stock Power Entry Form**

Enter the information required below and click the submit button to generate a printable stock power form.

<b>Receiving Information</b>	
Account Number	<input type="text" value="JDEMO"/>
Date of Entry	<input type="text" value="4/27/2001"/>
<b>Security Information</b>	
Number of shares	<input type="text" value="15"/>
Symbol	<input type="text" value="ibm"/>
Stock type	<input checked="" type="checkbox"/> Common
Certificate number(s)	<input type="text" value="12232293"/>
<input type="button" value="Generate Stock Power"/>	

FIG. 24

TOZ2000-02T/T660

**IRREVOCABLE STOCK OR BOND POWER**

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789  
123 West Main Street  
Fort Wayne, IN 46804

If Stock, 15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)  
Complete ( represented by Certificate(s) No(s) 12232293 inclusive,  
This ( Standing in the name of the undersigned on the books of said Company.  
Portion (Standing in the name of the undersigned on the books of said Company.

If Bonds, ( \_\_\_\_\_ bonds of \_\_\_\_\_  
Complete ( \_\_\_\_\_  
This ( in the principal amount of \$ \_\_\_\_\_ No(s) \_\_\_\_\_ inclusive,  
Portion ( standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint \_\_\_\_\_ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY  
The signature(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

Joseph Client

SIGNATURE GUARANTEED

Done

**FIG. 25**

TO ZE2Z0 "O2TCTG450

The screenshot shows a web browser window with the following details:

- Address Bar:** https://www.xisi.com/investigo/posting/edittrans\_spec.asp?AccountNo=JDEMO&Type=0
- Navigation Bar:** Back, Forward, Stop, Refresh, Home, Search, Favorites, History, Mail.
- Content Area:**
  - Investigo Corp.** logo and compliance status: Daily.
  - Form Fields:** Symbol (input field), Account Number or Name (input field).
  - Text:** Specific Trades for ANEFX, American-New Economy Fund
  - Text:** Here are the Open trades for JDEMO. To edit the trade, click on the trade ID.
  - Text:** To Sell a Specific Position, Click on the Share Amount.
  - Text:** To delete a trade, click on the trash can icon.
  - Text:** To edit ANEFX's database entry, click here.
- Table:** Displays specific trades for ANEFX.

TradeID	Buy Date	Symbol	Shares	Buy Price	Buy Cost	Delete?
O128295	4/8/1999	ANEFX	2910.361	25.77	\$75,000.00	
O128262	6/18/1999	ANEFX	4.498	25.88	\$0.00	
O128272	12/14/1999	ANEFX	352544	27.45	\$0.00	

FIG. 26

Correspondence History for JDemo			
Date	Type	Enterer	Notes
4/26/2001	Call	Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
4/11/2001	Text	Joe	Met with Joe and discussed his account. Check back in 3 months.
2/21/2001	Text	Joe	Sent him an appraisal and a realized g/l statement for

FIG. 27

# FIG. 28

Investigo Corp.		Compliance Daily		Account Number or Name:	
Symbol: [ ]	Q	Client	\$2,439	Client	7
Joseph Client - Customer since 1999		Average	\$204	Average	3
■ Year-to-Date Productivity				Referral History	
				Referred by: Scott O. Ferguson	
				314	
				310	
				300	
				306	
				304	
				302	
				312	
				308	
				301	
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